



NAVAL POSTGRADUATE SCHOOL

MONTEREY, CALIFORNIA

SHIP'S OFFICER STAFFING GUIDE: REPORT OF FINDINGS AND RECOMMENDATIONS

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ABSTRACT

The need for communication between an executive level staff and the end users of the manpower requirements determination process has never been greater. However, there is evidence that exterior (outside of the manpower process) influences have affected decisions relative to the officer manpower requirements. By changing requirements to match inventory the signal sent throughout the MPT system to program, recruit, train, educated and distribute personnel has now had its foundation changed to reflect not the future but the present state. With this as a systematic procedure, the process of officer manpower requirements is no longer dynamic, but rather static, and tied directly to the present and externally influenced personnel inventory.

There currently exists no formalized and approved process for the development of officer specific manpower requirements. Pieces of the process are evident in the formulation of pay grade specific data and definitions. However, there is no concrete evidence that a system exists on which to base the officer manpower requirement.

Formulate and formalize a process for the definition of officer at-sea manpower requirements. This process should be flexible and adaptable to the changing nature of at-sea manpower. This process should be able to meet the demand for review of existing workload on board units at sea but adaptable to describe the duties, responsibilities and workload associated with new classes and ship designs. The output of this process will be the foundation of the officer requirements portion of all manpower documentation for at-sea manpower requirements. Clearly define the process in OPNAVINST 1000.16 series.

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DISCUSSION

General Manpower Discussion

The Navy Manpower, Personnel and Training (MPT) resource management system is to codify, forecast and program force structure across the future year defense plan and to professionally develop and allocate finite personnel resources available as part of the Navy's role in the National Military Strategy in support of the National Security Strategy. This total personnel system is designed to define and allocate the finite personnel resources available to the United States Navy. In 1996 the Navy Manpower Steering Working Group Committee (MSWGC) canceled a document previously used to codify officer at sea manpower requirements - the Ships Officer Staffing Guide (SOSG). Interviews and literature reviewed for this paper indicate that it is increasingly difficult to codify and thereby fulfill officer requirements at seas, e.g. designator (skill), pay grade, and quantity.

The “Personnel Process” has the responsibility to recruit, classify, promote, train, appropriately assign, and educate the Sailors and officers of the United States Navy. Courses of action to fulfill the charter of this process are varied and mainly subjective in nature. Naval personnel are assigned, educated, and promoted based on their skills and performance. Personnel are assigned to various tasks throughout the “Fleet” based upon a match of their skills and attributes with a specific detailed descriptive manpower billet or job. The definitions of these billets or jobs is based on the directed mission, function and tasks, the Required Operational Capability/Projected Operational Environment of the unit to which they will be assigned. The workload that the personnel process uses as a basis for the assignment, training and promotion is reflected in a document referred to as the Activity Manpower Document or

AMD. “Work load defined in this document is determined using industrial engineering or other justifiable techniques which yield accurate manpower requirements.”¹

Before the billets or jobs are given over to the Personnel Process a series of work related justification must occur. Focused mainly on the work that needs to be completed at sea on ships, submarines, aircraft squadrons and within the sea-going staffs, the “Manpower Process” is the foundation of the MPT system.

It begins with the identification of the naval activity’s workload based on the Required Operational Capability elements and Projected Operational Environment statement or “ROC/POE.” This is the basis by which a ship at sea will operate and how the manpower system will ultimately base the number and skill level of the Navy personnel embarked. These manpower requirements are determined and validated to ensure they meet the criteria of the ROC/POE ship class instruction. Ship manpower requirements are derived from empirical data and functional workload data in the ROC including Operational Manning or Watch Stations, maintenance, Own Unit Support or administrative/support functions, and directed or special CNO-mandated programs. The POE describes the circumstances and environment under which a unit is to operate.

Both officer and enlisted workload, by definition are based upon a standard of individual work referred to as the Navy standard workweek. This work is further refined to describe the minimum skill level required to satisfy the task, the minimum necessary pay grade or experience level and finally the minimum quantity of personnel required to fulfill these duties while at sea.

The Navy Manpower Analysis Center (NAVMAC) reviews the ROC/POE documents and unit configuration, collects and analyzes data, and uses algorithmic modeling which applies

¹ OPNAV INST 1000.16(J) pg. 3.

to various pay grade distribution tables and manpower staffing standards to determine workload which is expressed in terms of “man hours.” For enlisted requirements, NAVMAC applies the CNO-directed net of 70 hours of productive time per week. However, for officer requirements this algorithmic model and application of a standard workweek consisting of 70 hours is not applied. These analyzed and defined manpower requirements, “provide the Navy with a dynamic process for planning, programming, and budgeting total force manpower resources to support the operating forces and the shore establishment under peacetime and wartime conditions.”² Analysis of the data for officer manpower requirements include the gathering of shipboard watch station requirements, designed war-fighting capabilities, interviews with crewmembers and if necessary an on-site validation of work load data.

The result of this initial work by the NAVMAC team is reflected in the Ship Manpower Document or the SMD. By definition the SMD is, “Quantitative and qualitative manpower requirements for an individual ship or class of ships and is the rationale for determination of the requirements. Requirements are predicated upon the ROC/POE, ship configuration, specific operating profile, computed workload, and established doctrinal and policy constraints such as standard workweek, leave policy, etc.”³

Following NAVMAC analysis draft documents are sent to Fleet representatives for comment and reclamation. Once the internal review is completed the final SMD is submitted to OPNAV N12 for final approval and publication. Once signed, it is distributed to the appropriate Fleet Manpower Resource Sponsors, Claimants and Type Commanders.

² OPNAV INST 1000.16(J) pg 2.

³ OPNAV INST 1000.16(J) pg. B-16.

Officer Manpower Requirements at Sea

Prior to 1996, officer manpower requirements were entered into Ship Manpower Documents (SMDs) as directed requirements from a document called the Ship Officer Staffing Guide (SOSG). This officer specific requirements document was based on organizational analysis and used successfully for many years. The SOSG displayed the officer requirements for specific classes of ships. Differences within a specific class of ship were acknowledged and officer manpower was further defined by specific Unit Identification Code as necessary to reflect tailored requirements. Interviews with various navy manpower experts have stated that it has been historically difficult to capture the minimum skill, pay grade and quantity of officers necessary to fulfill the over all requirements of officers at sea. With a document based mainly on the CNO directed requirements (JAG Corps, Chaplain, etc) and organizational analysis with its foundation of the hierarchical composition of a military organization (CO, XO, Department Head, Division Officer, etc.), there was no requirement to develop a systematic process for the determination of industrial standards and the collection of officer work load at sea. Historically, the SOSG was approved by CNO (N12) and managed by NAVMAC CNO (N121). NAVMAC's management of the SOSG consisted of arbitration between the major Fleet Claimants. Every two years the stakeholders met to validate, discuss and recommend changes to the document to more accurately reflect the needs of the Navy and the requested changes made by the various manpower managers. Additionally, the document was periodically reviewed and consideration given to new emergent mission requirements, community management issues, and required changes in skills due to technological improvements and changes in the Navy Officer Occupational Classification System (NOOCS).

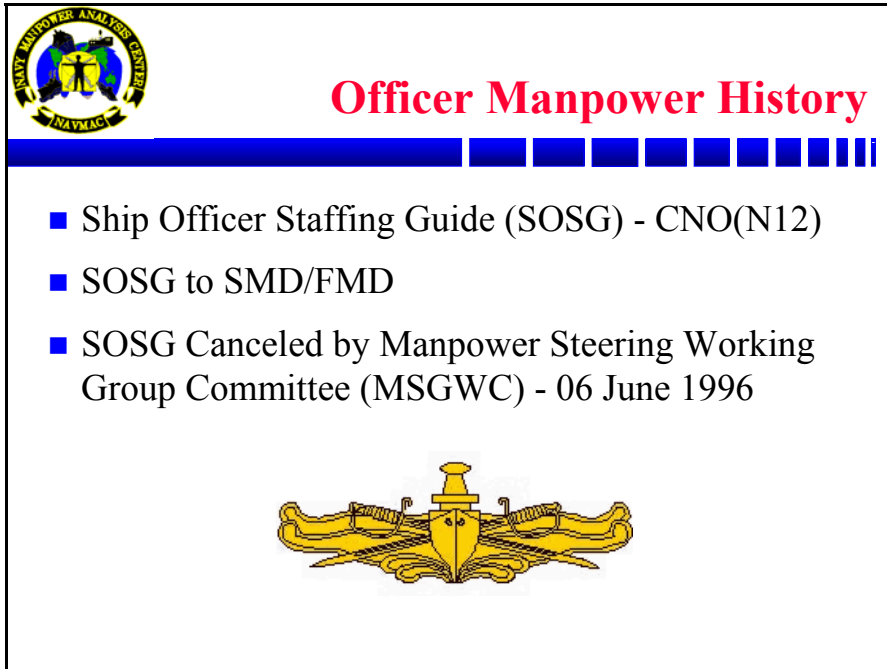


Fig. 1 Officer Manpower History (NAVMAC FEB 2001)

Following the directed cancellation of the SOSG in 1996 the responsibility for the management of officer manpower requirements fell upon the Navy Manpower Analysis Center (NAVMAC) (fig.1). Although NAVMAC's core capability includes officer manpower and personnel issues, there was (is) no clearly defined substitute for SOSG guidance. Initial efforts to bridge this gap consisted of gathering officer at sea work load data similar to that captured for enlisted requirements at sea. NAVMAC reverted to the generalized instructions contained in OPNAVINST 1000.16(H) and the subjective expertise of the NAVMAC staff to define officer workload and requirements at sea. The OPNAV instructions were generic in nature and were not deemed suitable for the definition and use for both officer and enlisted requirements. For officer workload, there was and still remains no viable process for satisfying the requirement to define work load, "using industrial engineering or other justifiable techniques which yield accurate manpower requirements" as previously stated.

Updated and reissued in 1998, the OPNAVINST 1000.16(J) states, that “the Navy determines requirements based on a zero-based concept over multiple years without consideration of funds, availability of personnel, or organization.”⁴ Manpower requirements are determined by actual or projected workload based on approved operational requirements in support of the directed mission. These requirements are “qualitized” based on skill information at the minimum pay grade and other specifics for the satisfactory performance of the assigned functions.⁵ The current foundation of the determination of officer requirements is not based on workload; rather, these definitions are mainly on pay grade and by negation. The “wardrooms” of ships are still based on the organizational analysis and CNO-directed requirements as it has been historically. This is being done without a comprehensive and approved industrial engineering process as mandated by the OPNAV Instruction.

In the absence of an industrial standard, the navy manpower analysts must revert to the only defining process existing today to formulate the basis of the manpower requirement which is the definition of pay grade. This definition is the same for both officers and enlisted personnel.

⁴ OPNAV INST 1000.16(J) pg. 1-1.

⁵ OPNAV INST 1000.16(J) pg. 1-1.

When determining minimum officer and enlisted pay grades use the following criteria are considered:

- Degree of responsibility
- Span of authority
- Impact of decisions
- Resources used or available
- Professional or technical skills required
- Years of experience required to develop necessary professional or technical skills
- Number and pay grade or rate of subordinates
- Pay grades of subordinates, lateral and superior commands

Fig. 2. Minimum Officer and enlisted pay grade criteria⁷

As noted before this pay grade definition does not address all three requirements of a manpower requirement. What this definition lacks is the basis of the minimum quantity or in other words the minimum number of officers required to perform the work.

This concept was communicated in a presentation by the Commanding Officer of NAVMAC as part of the Shipboard Manpower Requirements Training Seminar, to educate the manpower personnel and training workforce on how the process is applied (fig.3).

⁶ OPNAV INST 1000.16(J) pages1-3.

⁷ OPNAVINST 1000.16(J) pages 1-3

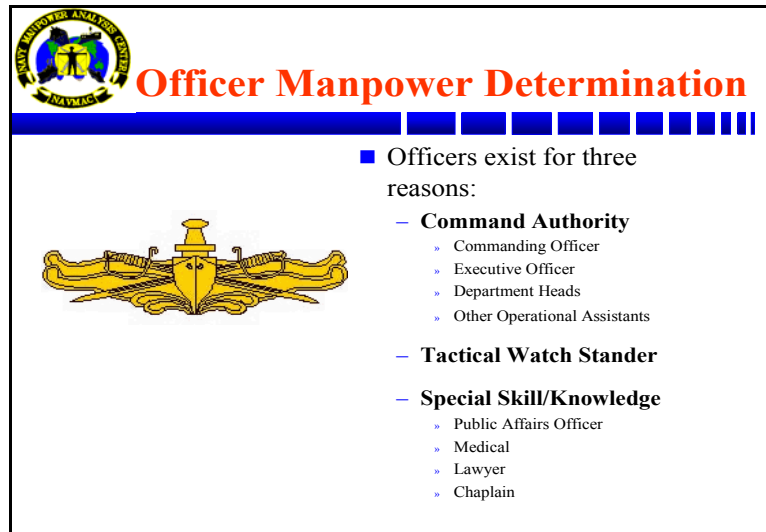


Fig 3. Officer Manpower Determination (NAVMAC FEB 2001)

It is apparent that there is no auditable quantitative process for accurately determining the workload for officers at sea. Rather, a qualitative methodology does exist for defining an officer's experience level as shown in fig 3 as command authority. While the replacement methodology developed by NAVMAC is useful, it appears, to those outside of the requirements determination process, as very subjective.

Further, the lack of an approved officer manpower requirement determination process allows for the manipulation of the manpower system by stakeholders who are users of the output of the manpower process. Interviews with personnel involved with officer assignments indicate that in order to meet officer inventory skills shortages, the officer manpower requirements at sea were manipulated to match existing officer inventories.⁸

⁸ Interview with Navy Personnel Command in Memphis.

QUALITATIVE SUMMARY

In general the manpower requirements determination process enlists several steps to correctly identify the manpower needed to meet the demands of officers and enlisted personnel duties at sea. This process is defined by existing publications by first determining the activity's approved Mission Function and Tasks (MFT's). Once defined, the requirement determination process assigns the minimum quantity of manpower to support the MFT's. Next, the determination of the necessary mix of military and civilian personnel would be assessed. In the case of the officer requirements at sea, this general requirement is not applicable. These interim results are then compared to pre-existing manpower documents. Differences based on the analysis that indicated either increases or decreases to existing documentation are then submitted as manpower document changes.

The lack of an approved officer manpower determination process allows for the manipulation of the manpower system by those stakeholders who are users of the resultant manpower documents. During interviews with personnel involved with the officer assignments it was discovered that in order to meet officer inventory skills shortages, officer manpower requirements at-sea were manipulated to match existing officer inventories.⁹

⁹ Interview with Navy Personnel Command in Memphis.

Historically:

The approval authority for the at sea manpower requirements for both officers and enlisted was held at the Chief of Naval Operations for Total Force Programming, Manpower, and Information Resource Management Division (CNO N12). As discussed previously the research, analysis and documentation of the manpower requirements was completed in conjunction with the various manpower offices throughout the fleet. Once compiled each of the Fleet manpower Claimants were given opportunities to review and comment on the proposed manpower requirements affecting their area of responsibility. This oversight was formalized in the reclamation process. Management of the reclamation process was the responsibility of the Commanding Officer of NAVMAC. Changes to the original manpower documents were approved by CNO 12. Once these changes were recorded and the document was finalized, N12 became the signature approval authority for all manpower requirements documentation.

Having this decision process at the executive level lessened the possibility of outside influences affecting the manpower process. Focused primarily on the results of the organizational analysis conducted in the field and at NAVMAC, the approval of manpower requirements was not unduly influenced by such factors as reduced fiscal resources, personnel and skill inventories, or retention statistics.

Today:

The need for communication between an executive level staff and the end users of the manpower requirements determination process has never been greater. However, there is evidence that exterior (outside of the manpower process) influences have affected decisions relative to the officer manpower requirements. Interviews conducted with personnel placement

officials indicated that manpower documentation was influenced by personnel inventories so that manpower billet file requirements were changed to reflect manning inventories.¹⁰ This effort to change the officer requirement to match the existing personnel inventory is counter to the effort to formulate the minimum quantity, quality of manpower required for peacetime and wartime to effectively and efficiently accomplish the activity's mission. *By changing requirements to match inventory the signal sent throughout the MPT system to program, recruit, train, educated and distribute personnel has now had its foundation changed to reflect not the future but the present state. With this as a systematic procedure, the process of officer manpower requirements is no longer dynamic, but rather static, and tied directly to the present and externally influenced personnel inventory.*

Decisions affecting the manpower requirements determination process as well as the final approval for the analyzed requirements should stay at the executive decision level. Further, this decision process should remain separate but in communication with the personnel system. Influences generated by the ever-changing personnel system should not dramatically influence the development of requirements.

¹⁰ Interview with Navy Personnel Command in Memphis.

FINDINGS AND RECOMENDATIONS

A. Finding: There currently exists no formalized and approved process for the development of officer specific manpower requirements. Pieces of the process are evident in the formulation of pay grade specific data and definitions. However, there is no concrete evidence that a system exists on which to base the officer manpower requirement.

Recommendation: Formulate and formalize a process for the definition of officer at-sea manpower requirements. This process should be flexible and adaptable to the changing nature of at-sea manpower. This process should be able to meet the demand for review of existing workload on board units at sea but adaptable to describe the duties, responsibilities and workload associated with new classes and ship designs. The output of this process will be the foundation of the officer requirements portion of all manpower documentation for at-sea manpower requirements. Clearly define the process in OPNAVINST 1000.16 series.

B. Finding: According to current documentation and interviews conducted for this study, the decision and approval authority for manpower requirements rests at the CNO executive staff level. There is evidence indicating that some of these approval decisions are delegated to lower levels of the executive staff.

Recommendation: Continue to maintain the decision authority at the executive level. Senior decision-makers should have the final adjudication of manpower requirements. This seniority will ensure quantitative and qualitative fidelity and that

external factors to not unduly influence officer manpower requirement and policy decision-makers.

C. Finding: Interviews and discussions with officers, enlisted and civilians working in the MPT arena have different levels of understanding of the manpower process. The level of understanding did not seem to be tied to the individual's seniority nor experience level.

Recommendation: Further develop a learning continuum for military and civilian manpower and personnel planners placing emphasis on how the manpower system is developed and its role as the foundation for personnel planning.

D. Finding: There was little indication that there is neither fidelity nor discipline within the manpower system for the officer's at-sea manpower requirements. In some instances personnel issues are driving billet file changes in order for the two to be reflective of inventory.

Recommendation: Maintain the manpower process as the foundation of the MPT system. The requirements determination process should remain as the cornerstone of the manpower process which defines the quality, quantity of the manpower requirement, based on organizational analysis, industrial engineering (in the case of enlisted) as well as subjective analysis to maintain its analytical rigor and flexibility.

APPENDIX A. SURFACE WARFARE OFFICER COMMUNITY

MANAGER INTERVIEW OF 05 JUNE 2003

Commander Cliff Sharpe USN Surface Warfare Officer Community Manager

This meeting opened with CDR Hatch describing the process and task of the officer staffing guide project.

The discussion quickly turned to the topic of Surface Warfare Officer manning issues.

However, overall discussion focused on the following:

- That the personnel system recognizes the surface officer community as the major contributor for lateral transfers of officer manpower for the restricted line and other communities.
 - Due to the nature of surface warfare the Officer Community Manager (OCM) stated that he has an extraordinary number of female officers to place in billets. It sounds as if the surface community is also looked up as an area in the Navy where female officers can be easily placed into their warfare specialty. “We are the designated Restricted Line growth community.”
- New construction platforms that will have far fewer requirements will have a detrimental effect on the pyramidal structure of the officer community at sea. Instead of having large numbers of junior officers on board with a corresponding and every decreasing number of department heads, the new commissioned units will have very few officers and little room for career progression and growth.
- Overall the surface officer community has more inventory than BA. This is apparently a significant problem in the more junior paygrades. Apparently, ships are leaving for deployment leaving officers behind because there is insufficient room for them on board.
 - However, it was mentioned that the surface community still has a problem with insufficient inventory of more senior officers. **Note:** What is broken here, the personnel system not retaining the correct quality of officers, or is it a problem with the billet file not reflecting the correct or needed mix of senior surface warfare officers?
 - It appears that the major commissioning sources for the SWO community USNA and ROTC are being allowed to commission too many officers into the community. **Note:** What is the Navy policy for direct commissions to restricted line officers?
- Accelerated decommissioning of ships has exasperated the over-inventory problem. The reduction of the requirements has not yet resulted in a corresponding decrease in inventory. **Note:** Have these units been stricken from TFMMS so that an accurate “buy” signal is being sent to the personnel system?
- The OCM was not aware nor did he agree with statements made in during SOSG team interviews in Memphis by SWO placement officers that the billet file had been changed to reflect personnel inventory. However, he did state that in some instances where a billet had historically gone unfilled, this “requirement” was “traded” to another

community. The thinking was that if he could not fill the requirement why the SWO community should keep the requirement. He did state that he thought those traded requirements had then been changed to reflect the designator of the new fill. For example; if a billet had gone unfilled for a long period of time the LDO community might be asked to fill the billet. If, after acceptance and detail of an LDO to that job, the requirement was then changed to reflect an LDO designator instead of a SWO.

Observations

- This OCM has an exceptional knowledge of the Navy Personnel System. He has farsighted vision and is able to articulate his ideas in convincing terms.
- The SWO OCM is probably reflective of the general population of Naval Officers and those working in the personnel world that do not have a good working knowledge of the manpower system nor the effects of the billet file on personnel issues.
- There was little indication that there is either fidelity or discipline within the manpower system. It appears that personnel issues may be driving billet file changes in order for the two to be reflective of inventory. Nor is there an obvious link between the manpower and personnel system.
- The need for a validated billet file and accurate requirements may never have been greater than now.

Possible actions:

1. Ask NAVMAC to download the current SWO billet file by ship class. This download should capture designator, paygrade and billet file specifics for subspecialties.
2. After that is complete compare this to the old SOSG. Compare the results. How far off is the SOSG from what is reflected in the current file?
3. For new surface warfare platforms are how are the officer requirements being determined? One possible solution would be the development of a software package that allows for organizational analysis combined with career progression and subspecialty infusion. (SOSG on wheels)
4. Come to a SOSG team consensus on where do we go with this project. The latest discussion indicates that there is a significant problem within the SWO personnel community understanding the manpower system. Suggestions for further actions can be provided with separate correspondence and conversations.

APPENDIX B. SHIP'S OFFICER STAFFING GUIDE

SHIP OFFICER STAFFING GUIDE

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DDG 51 CLASS SHIPS

DEPT	DIV	BILLET TITLE	RANK	DESIG	PNBC	SNOBC	AQD	SUBSPEC	
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		✓ NTDS-CIC/OP INTEL GEN	LTJG	1110	9217	9640			CDR - 1
	OC	✓ COMM AFLOAT	ENS	1160	9582			00897S	LCDR - 2
	OI	✓ SURF SHP W/DIV/SHP ELX WRF	ENS	6120	9255	9282			LT - 5
	OD	✓ FIRSTLT AFLOAT	ENS	1160	9242				LTJG - 7
COMB		✓ CHBT SYS	LCDR	1110	9261		LF7	0066H	ENS - 7
	CA	✓ ASW WEP	LTJG	1110	9206				CWO4 - 0
	CE	✓ SHP ELX MTL/ADP SYS MNT	LT	6180	9283	9745			CWO3 - 0
	CF	✓ FIRE CTL SAM/STRKW F MISSYS	ENS	6160	9238	9246			CWO2 - 0
	CG	✓ DIV WEP GUN	ENS	1160	9252				
	CH	✓ STRKWRF MISSAM	LTJG	1110	9247				TOTAL: 22
		✓ FIRE CTL SAM	LTJG	1110	9238				
ENG		✓ SHP ENG GASTBN	LT	1110	9364		LF7	00547S	
	A	✓ AUX MACH	ENS	1160	9302				
	MP	✓ MPA GASTURBINE	LTJG	6130	9337				
	R	✓ DC ASST	LTJG	1110	9308				
SUP		✓ GEN SUP	LT	3100	1918			1300H	
	S-4	✓ DISB	ENS	3100	1045				

NOTE: CHANGE ENS 6120 9282 9255 TO A 6440 OR 1610 ON CDF EQUIPPED SHIPS (FLIGHT 2 DDG 51'S)

MHC 51 CLASS SHIPS

DEPT	DIV	BILLET TITLE	RANK	DESIG	PNOBC	SNOBC	AQD	SUBSPEC	
CO		CO AFLOAT LCDR	LCDR	1140	9234				TOTAL
EXEC		XO AFLOAT/SHP NAVIG GEN	LT	1110	9228	9284			BY
OPER		OPS AFLOAT GEN	LTJG	1110	9274			0089T	RANK
DECK		FIRSTLT AFLOAT/MINESWP	LTJG	1110	9242	9268			
ENG		SHP ENG DIESEL/DC ASST	LT	1110	9363	9308			
									CAPT - 0
									CDR - 0
									LCDR - 1
									LT - 2
									LTJG - 2
									ENS - 0
									CWO4 - 0
									CWO3 - 0
									CWO2 - 0
									TOTAL: 5

SSN 21 CLASS SHIPS

DEPT	DIV	BILLET TITLE	RANK	DESIG	PNOBC	SNOBC	AQD	SUBSPEC	
CO		CO AFLOAT CDR	CDR	1120	9235		SC4	4053F	TOTAL
EXEC		XO AFLOAT	LCDR	1120	9228		SN1	4053G	BY
NAV		OPS AFLOAT GEN/SHP NAVIG GEN	LCDR	1120	9274	9284			RANK
	RH	COMM AFLOAT	LTJG	1120	9582			0089T	
COMB		CMBT SYS	LT	1120	9261				CAPT - 0
	DK	FIRSTLT AFLOAT	ENS	1170	9242				CDR - 1
	ST	DIV WEP GEN	LTJG	1120	9250				LCDR - 3
ENG		SHP ENG/NUC GEN	LCDR	1120	9371		SN2	4053G	LT - 4
	A	SHP ENG/NUC DC	LT	1120	9373		SNO		LTJG - 3
	E	SHPENG NUC ELC	LTJG	1120	9374		SNO		ENS - 3
	M	SHP ENGN MNPROP	LT	1120	9372		SNO		CWO4 - 0
	RC	SHP REACT CTL	ENS	1170	9394		SNO		CWO3 - 0
		RADIOLOG CTL	ENS	1170	7251		SNO		CWO2 - 0
SUP		GEN SUP	LT	3100	1918				
									TOTAL: 14

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